

2881



## THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re U.S. Patent Application of:

INVENTORS: Marianne Krieg-Kowald

SERIAL NO.: 10/016,103

ART UNIT: 2881

FILED: December 10, 2001

EXAMINER: Unassigned

TITLE: "Method for Rendering Surface Layer of Limited Play Disk Lightfast"

ATTORNEY DOCKET NO.: 903.0011.U1(US)

Hon. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

## INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to Sections 609 and 707.05(b) of the MPEP and 37 CFR 1.97-1.99, copies are herewith submitted of documents which may be pertinent to the invention as claimed in the above-identified application. The attached form PTO-1449 lists these documents.

Each document contained in the accompanying information disclosure statement was cited in a communication from a foreign office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. A copy of the Search Report is enclosed.

The citation of these documents should not be construed as a representation that a thorough search has been made, or that other, more pertinent material is not available.

Respectfully submitted,

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Reg. No. 32,493

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## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on:

June 19, 2002

Carolyn Wise  
Name of person mailing correspondence

Carolyn Wise  
Signature

## PATENT COOPERATION TREATY

RECEIVED

From the INTERNATIONAL SEARCHING AUTHORITY

To:  
**HARRY F. SMITH**  
**HARRINGTON & SMITH, LLP**  
**1809 BLACK ROCK TURNPIKE**  
**FAIRFIELD, CT 06432**

<b>RECEIVED</b>		NOTIFICATION OF TRANSMITTAL OF THE INTERNATIONAL SEARCH REPORT OR THE DECLARATION
JUN	8 2002	
<b>HARRINGTON &amp; SMITH, LLP</b>		(PCT Rule 44.1)
		Date of Mailing (day/month/year) <b>13 JUN 2002</b>
Applicant's or agent's file reference <b>903.0011.U1(</b>		FOR FURTHER ACTION See paragraphs 1 and 4 below
International application No. <b>PCT/US01/48029</b>		International filing date (day/month/year) <b>11 December 2001 (11.12.2001)</b>
Applicant <b>SPECTRADISC CORPORATION</b>		

1.  The applicant is hereby notified that the international search report has been established and is transmitted herewith.

**Filing of amendments and statement under Article 19:**

The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):

**When?** The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.

**Where?** Directly to the International Bureau of WIPO, 34, chemin des Colombettes  
1211 Geneva 20, Switzerland, Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2.  The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3.  With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:  
 the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.  
 no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

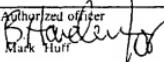
**4. Reminders**

Shortly after 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90 bis.1 and 90 bis.3, respectively, before the completion of the technical preparations for international publication.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the ISA/US Commissioner for Patents Box PCT Washington, D.C. 20231 Facsimile No. (703)305-3230	Authorized officer  Mark Huff
	Telephone No. 703-308-0661

(See notes on accompanying sheet)

**PATENT COOPERATION TREATY**  
**PCT**

**INTERNATIONAL SEARCH REPORT**

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 903.0011.U1(	<b>FOR FURTHER ACTION</b>	see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.
International application No. PCT/US01/48029	International filing date ( <i>day/month/year</i> ) 11 December 2001 (11.12.2001)	(Earliest) Priority Date ( <i>day/month/year</i> ) 11 December 2000 (11.12.2000)
Applicant <b>SPECTRADISC CORPORATION</b>		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of 3 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the Report**

- a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.
  - the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).
- b. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of the sequence listing:
  - contained in the international application in written form.
  - filed together with the international application in computer readable form.
  - furnished subsequently to this Authority in written form.
  - furnished subsequently to this Authority in computer readable form.
  - the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
  - the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

2.  Certain claims were found unsearchable (See Box I).

3.  Unity of invention is lacking (See Box II).

4. With regard to the title,

- the text is approved as submitted by the applicant.
- the text has been established by this Authority to read as follows:  
Lightfast limited replay disk and method of use.

5. With regard to the abstract,

- the text is approved as submitted by the applicant.
- the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.
- 6. The figure of the drawings to be published with the abstract is Figure No. 1
  - as suggested by the applicant.
  - because the applicant failed to suggest a figure.
  - because this figure better characterizes the invention.

None of the figures

## INTERNATIONAL SEARCH REPORT

International application No.

PCT/US01/48029

**A. CLASSIFICATION OF SUBJECT MATTER**

IPC(7) : B32B 3/00  
 US CL : 428/64.1, 64.4, 64.8; 369/275.5, 283,288; 430/270.1, 945

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)  
 U.S. : 428/64.1, 64.4, 64.8; 369/275.5, 283,288; 430/270.1, 945

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)  
 West Database, Search Terms: Photochromic, limit?, prevent?, inhibit?, unreadable, replay?, read?

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 5,815,484 A (SMITH et al.) 29 September 1998, entire document, particularly columns 4, 9-10 and figures 2-7.	1-24
Y	WO 99/41738 A (MAZAR) 19 August 1999, entire document particularly pages 5,6,11,12,18 and figure 1.	1-24
Y	WO 99/67085 A (SPECTRADISC CORPORATION) 29 December 1999, entire document, particularly figures 6-7 and pages 18-21,25,26.	1-24
Y	US 6,011,772 A (ROLLHAUS et al.) 04 January 2000, entire document, particularly column 7-8 and table 2.	1-24
Y	US 4,412,231 A (NAMBA et al.) 25 October 1983, column 1/lines 41-65 and column 2/lines 62-66.	1-24
Y	US 5,994,262 A (IIDA et al.) 30 November 1999, column 4/lines 55-57	3,9,15,21
Y	US 5,480,765 A (YANAGIHARA et al.) 02 January 1996, example 17.	3,9,15,21
Y	US 4,772,922 A (KAWAHARA et al.) 20 September 1988, column 3/lines 32-50.	3,9,15,21
Y	US 5,521,138 A (SHIMADA et al.) 28 May 1996, column 14/lines 30-31 and 48-49.	3,9,15,21

Further documents are listed in the continuation of Box C.

See patent family annex.

- \* Special categories of cited documents.
- "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- "A" document defining the general state of the art which is not considered to be of particular relevance
- "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- "E" earlier application or patent published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed
- "&" documents member of the same patent family

Date of the actual completion of the international search

24 May 2002 (24.05.2002)

Date of mailing of the international search report

15 JUN 2002

Name and mailing address of the ISA/US  
 Commissioner of Patents and TrademarksBox PCT  
 Washington, D.C. 20231

Facsimile No. (703)305-3230

Authorized officer:

Mark Huff

Telephone No. 703-308-0661

## INTERNATIONAL SEARCH REPORT

International application No.

PCT/US01/48029

## C. (Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 4,392,141 A (INOUE et al.) 05 July 1983, column 5/lines 30-3 and 52-53.	3,9,15,21
Y	US 5,627,287 A (SASAKI et al.) 06 May 1997, column 19/lines 19-23 and 42-43.	3,9,15,21

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U.S.P.T.O.

Page No.: 1 of 1

<b>INFORMATION DISCLOSURE CITATION FORM FOR PATENT APPLICATION (FORM PTO-1449) (Substitute)</b>		Docket No.: 903.0011.U1(US)	Serial No.: 10/016,103			
		Applicant(s): Marianne Krieg-Kowald				
		Filing Date: 12-10-01	Group: 2881			
<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initials	Document Number (Number-Kind Code)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant	Class	Sub-class	
	US-6,011,722	01-04-2000	Rollehaus et al.	369	286	
	US-5,994,262	11-30-1999	Iida et al.	503	212	
	US-5,815,484	09-29-1998	Smith et al.	369	275.1	
	US-5,627,287	05-06-1997	Sasaki et al.	548	463	
	US-5,521,138	05-28-1996	Shimada et al.	503	209	
	US-5,480,765	01-02-1996	Yanagihara et al.	430	338	
	US-4,772,922	09-20-1988	Kawahara et al.	355	32	
	US-4,412,231	10-25-1983	Namba et al.	346	135.1	
	US-4,392,141	07-05-1983	Inoue et al.	346	1.1	
	US- US- US- US- US- US- US-					
<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials	Document Number (Country Code-Number-Kind Code)	Publication Date (MM-DD-YYYY)	Name Of Patentee or Applicant	Translation? Yes/No/n/a		
	WO-99/67085- WO-99/41738- - - - - - - - - - -	12-29-1999 08-19-1999	Lawandy et al. Nickey	Yes Yes		
	<b>OTHER DOCUMENTS (Author (Capitalize), Title, Date, Pages, Etc., if known)</b>					
	Examiner's Signature:			Date Considered:		
	Initial if reference was considered, whether or not citation is in conformance with MPEP. Mark through citation if not considered. Include a copy of this citation form with your next correspondence to the Applicant(s).					